



STATE OF MONTANA  
DEPARTMENT OF ADMINISTRATION  
INFORMATION TECHNOLOGY SERVICES DIVISION



Brian Schweitzer  
Governor

# State Of Montana

## Public Employee

## Retirement

## Administration

## Biennial Report

**FOR FY2010**

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**STATE OF MONTANA**

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**INFORMATION TECHNOLOGY SERVICES DIVISION**

Dick Clark, CIO  
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May 1, 2010

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## EXECUTIVE SUMMARY

The Montana Public Employee Retirement Administration (MPERA) is the executive staff to the Montana Public Employees' Retirement Board (PERB). PERB administers 10 separate retirement plans. PERB is administratively attached to the Department of Administration. PERB approves its annual budget and has hiring/firing authority of its administrative staff. PERB has fiduciary responsibility for the retirement plans and trust funds and is committed to acting in the best interest of the members and beneficiaries. MPERA's mission is to efficiently provide quality benefits, education and service to help our plan members and beneficiaries achieve a quality retirement.

The Public Employee Retirement Administration continues to provide timely processing of contributions and benefits, to protect individual privacy and the privacy of information contained within our systems and to provide our stakeholders with secure internet access to existing and new services.

MPERA is looking to the future and embarking on imaging and new system initiatives. These projects, when completed, will provide enhanced and new functionality to our stakeholders and allow MPERA to perform more efficiently and effectively, balancing our staff, technology and resources producing the maximum value for the time, effort and budget we invest.

Initiative Status	Total Count	Fully Funded Count	Unfunded Count	Partly Funded Count
Completed	0	0	0	0
Substantially completed	0	0	0	0
Deferred	0	0	0	0
Delayed	0	0	0	0
Cancelled	0	0	0	0
Remain on-going by design	2	1	0	1

# SECTION 1: AGENCY IT PLAN ACCOMPLISHMENTS – GOALS & OBJECTIVES

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## 1.1 Goals

### *Goal Number 1:*

**ITG 1** Maintain ITSD recommended standards and policies.

Description: Maintain ITSD recommended standards for hardware and software – for MPERA staff and customers. Ensure MPERA is in compliance with state policies.

Benefits: To stay abreast of technological advancements, to obtain the support and knowledge of ITSD staff for maintenance and troubleshooting problems, to enable communication with other state agencies. Protect individual privacy and the privacy of information contained within IT systems.

Beneficiaries: MPERA staff, MPERA customers, other state agencies.

Does this goal support the State IT Strategic Plan? If so, how?

Implements State IT Goals/Initiatives By: Develop IT resources in an organized, deliberative and cost-effective manner, Protect individual privacy and the privacy of information contained within IT systems, Improve Government services

### **Supporting Objective/Action**

**ITO 1-1** Ensure MPERA is in compliance with state policies.

**Describe the business requirements or business problem driving this objective:**

BR 5: Provide Quality Service to our Members, Employers and other Customers.

**Describe the benefits to be derived from the successful completion of this objective:**

To stay abreast of technological advancements, to obtain the support and knowledge of ITSD staff for maintenance and troubleshooting problems, to enable communication with other state agencies, to serve our members and the employers by adhering to state policies.

Describe the anticipated risks associated with this objective: None.

Describe how this objective supports the agency IT goal:

Serve our members and the employers and other customers by ensuring adherence to state policies and maintaining member confidentiality.

What is the timeframe for completion of this objective: **Ongoing**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?

State policies are reviewed and any required changes implemented by effective date of policy.

Relevant state policies are reviewed when hardware and software changes are identified.

**Accomplishments:** Implemented Eset Nod32, 100% completed; Implemented Office 2007, 100% completed; Implemented Bluezone, 100% completed; Migrated user mailboxes to exchange 2010, 100% complete, Novell Audit, 100% completed.

**Status:** on-going

## **Goal Number 2:**

**ITG 2** Improve Customer Service and Education by Offering Forms, Services and Education through our Website

Description: Continue to add functions to our Website to improve customer service and education.

Benefits: What benefits are realized and who realizes the benefits? To provide quicker, efficient processing and access to data. Improve customer service and education. Reduce staff workload.

Beneficiaries: MPERA staff, MPERA internal and external customers.

Does this goal support the State IT Strategic Plan? If so, how?

Create a favorable business climate, Protect individual privacy and the privacy of information contained within IT systems, Improve government services. Customer Focus, Customer Expectations, Promote and Use Information Technology, Efficient Use of IT Resources

### **Supporting Objective/Action**

**ITO 2-1** Implement basic internet inquiry to provide members with basic member account information.

Describe the business requirements or business problem driving this objective: BR3: Provide Education to our Stakeholders. BR5: Provide Quality Service to our Members, Employers and other Customers.

Describe the benefits to be derived from the successful completion of this objective: Provide quality customer service by providing customers the ability to access MPERA website to obtain basic member information allowing MPERA staff to focus on other priorities.

Describe the anticipated risks associated with this objective: Security of sensitive information.

Describe how this objective supports the agency IT goal: Customers can obtain basic member information from MPERA website allowing MPERA staff to focus on other priorities.

What is the timeframe for completion of this objective: **FY2009**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed? Basic member information such as contributions, interest, highest average salary, service years and beneficiary information will be accessible to members through the MPERA website.

#### **Accomplishments:**

*Status: Deferred, MPERA focus has changed to Imaging and New System projects.*

### **Supporting Objective/Action**

**ITO 2-2** Provide documentation of web reporting functions for MPERA staff and stakeholders.

Describe the business requirements or business problem driving this objective: BR2: Collect & Process Employer, Employee and State Contributions. BR3: Provide Education to our Stakeholders. BR5: Provide Quality Service to our Members, Employers and other Customers.

Describe the benefits to be derived from the successful completion of this objective: Provide quality customer service to MPERA staff and stakeholders with accurate documentation of available WEB reporting functions.

Describe the anticipated risks associated with this objective: Documentation may not be compatible with future systems.

Describe how this objective supports the agency IT goal: MPERA staff and stakeholders will be able to obtain help for WEB functions using documentation available from MPERA website.

What is the timeframe for completion of this objective: **FY2009**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed? 1) MPERA staff and stakeholders will be able to access tutorial documentation for MPERA WEB reporting functions from MPERA website. 2) Technical documentation

of WEB reporting system has been reviewed and approved by MPERA management.

**Accomplishments:** Documentation on MPERA WEB reporting functions is available from MPERA website. Technical documentation has been, created, reviewed and approved by MPERA management, 100% completed.

**Status:** Completed

### **Supporting Objective/Action**

**ITO 2-3** Implement function to allow members to inquire, download and print member statements from MPERA website.

Describe the business requirements or business problem driving this objective: BR3: Provide Education to our Stakeholders. BR5: Provide Quality Service to our Members, Employers and other Customers.

Describe the benefits to be derived from the successful completion of this objective: Provide quality customer service by providing customers the ability to access MPERA website to download and print member statements resulting in a significant decrease in the financial cost to print and mail this information.

Describe the anticipated risks associated with this objective: Security of sensitive information.

Describe how this objective supports the agency IT goal: Members access to account statements is improved and MPERA staff can focus financial resources on other initiatives.

What is the timeframe for completion of this objective: **FY2010**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed? Members can download and print annual statements through the MPERA website.

**Accomplishments:**

**Status:** Deferred, MPERA focus has changed to Imaging and New System projects.

### **Supporting Objective/Action**

**ITO 2-4** Implement function to allow members to estimate retirement benefits from MPERA website.

Describe the business requirements or business problem driving this objective:

BR3: Provide Education to our Stakeholders.

BR5: Provide Quality Service to our Members, Employers and other Customers.

Describe the benefits to be derived from the successful completion of this objective: Provide quality customer service by providing customers the ability to access MPERA website to estimate retirement benefits allowing MPERA staff to focus on other priorities.

Describe the anticipated risks associated with this objective: Accuracy of estimates.

Describe how this objective supports the agency IT goal: Members have the ability to run various scenarios for retirement to determine desirable retirement options. MPERA staff is able to focus on other priorities.

What is the timeframe for completion of this objective: **FY2010**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed? Have capability for MPERA staff and members to estimate retirement benefits using estimation tool accessible through the MPERA website.

**Accomplishments:** MPERA Benefit Estimator for PERS, HPORS, MPORS and FURS has been implemented on MPERA website. The benefit estimator for GWPORS, SRS and JRS is scheduled to be implemented in September, 2010. 85% complete.

**Status:** Substantially completed.



### **Supporting Objective/Action**

**ITO 2-5** Implement basic internet update to allow members to maintain member account information.

Describe the business requirements or business problem driving this objective:

BR3: Provide Education to our Stakeholders.

BR5: Provide Quality Service to our Members, Employers and other Customers.

Describe the benefits to be derived from the successful completion of this objective: Provide quality customer service by providing customers the ability to access MPERA website to *maintain* basic member information allowing MPERA staff to focus on other priorities.

Describe the anticipated risks associated with this objective: Security of sensitive information.

Describe how this objective supports the agency IT goal: Customers can maintain member information from MPERA website allowing MPERA staff to focus on other priorities.

What is the timeframe for completion of this objective: **FY2011**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed? Basic member information such as address information, beneficiary information, direct deposit, tax withholding may be maintained by the member through the MPERA website.

#### ***Accomplishments:***

***Status:*** *Deferred, MPERA focus has changed to Imaging and New System projects*

### **Supporting Objective/Action**

**ITO 2-6** Explore allowing MPERA forms to be submitted via website using electronic signatures.

Describe the business requirements or business problem driving this objective:

BR 2: Collect & Process Employer, Employee and State Contributions.

BR 5: Provide Quality Service to our Members, Employers and other Customers.

Describe the benefits to be derived from the successful completion of this objective:

Serve our members and the employers and other customers by providing improved reporting functions.

Describe the anticipated risks associated with this objective: Signatures are verifiable and accurate.

Describe how this objective supports the agency IT goal:

Serve our members, employers and other customers by providing improved reporting functions.

What is the timeframe for completion of this objective: **FY2012**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed?

Business case for implementing electronic signatures is completed.

***Accomplishments:*** *Ideation and concept for this objective are in progress.*

***Status:*** *Ongoing*

### Goal Number 3:

**ITG 3** Implement Imaging System for critical MPERA forms and documents.

Description: Our current business processes are paper driven. Documents that are critical to successful completion of critical business processes are located in various places throughout MPERA. An imaging system is needed to allow for recovery and improved business process functionality.

Benefits: What benefits are realized and who realizes the benefits? Update to current technology for support and expertise.

Improved records information management. Provide recovery of critical functions and records for COOP

Beneficiaries: MPERA staff, MPERA internal and external customers, DOA/ITSD

Does this goal support the State IT Strategic Plan? If so, how?

Develop IT resources in an organized, deliberative and cost-effective manner, Protect individual privacy and the privacy of information contained within IT systems, Improve government services.

#### Supporting Objective/Action

**ITO 3-1** Implement Imaging System for critical MPERA forms and documents.

Describe the business requirements or business problem driving this objective:

BR1: Pay Retirement, Survivorship, Disability and Death Benefits & Refunds;

BR2: Collect & Process Employer, Employee and State Contributions,

BR5: Provide Quality Service to our Members, Employers and other Customers

Describe the benefits to be derived from the successful completion of this objective: Efficient use of IT resources, promote and use information technology. Recovery of critical documents in the event of disaster.

Describe the anticipated risks associated with this objective: Development costs in equipment, time and man power.

Describe how this objective supports the agency IT goal: Collect & Process Employer, Employee and State Contributions, Pay Retirement, Survivorship, Disability and Death Benefits & Refunds; Provide Quality Service to our Members, Employers and other Customers.

What is the timeframe for completion of this objective:

**FY2011**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed? A work plan is developed during FY2009 to guide imaging functionality for MPERA. Project is initiated during FY2010 with implementation in FY2011.

**Accomplishments:** *The project has been initiated, the project charter has been developed and Ideation and Concept phases for this project are complete. Drafting of RFP is in progress.*

**Status:** *Ongoing*

### Goal Number 4:

**ITG 4** Re-engineer mainframe technology to provide for new and improved business process functionality.

Description: Our current mainframe systems utilize IDMS databases which are customized to our needs and have served us well. ITSD does not want to support mainframe IDMS technology in the future and, as other agencies leave the IDMS technology, the maintenance cost may be prohibitive for MPERA to maintain this technology. Additionally, these applications are nearing the end of their life cycle.

Benefits: What benefits are realized and who realizes the benefits? Update to current technology for support and expertise. Improved business process workflow.

Beneficiaries: MPERA staff, MPERA internal and external customers, DOA/ITSD

Does this goal support the State IT Strategic Plan? If so, how?

Develop IT resources in an organized, deliberative and cost-effective manner, Protect individual privacy and the privacy of information contained within IT systems, Improve government services.

### **Supporting Objective/Action**

**ITO 4-1** Document existing business processes.

Describe the business requirements or business problem driving this objective: BR1: Pay Retirement, Survivorship, Disability and Death Benefits & Refunds; BR2: Collect & Process Employer, Employee and State Contributions; BR5: Provide Quality Service to our Members, Employers and other Customers.

Describe the benefits to be derived from the successful completion of this objective: 1) Identify specifications and requirements for replacement systems. This will be the first step in determining the appropriate technology to meet requirements in the most cost feasible manner. 2) Provide for succession planning with viable documentation of critical business processes.

Describe the anticipated risks associated with this objective: Retirement of key personnel.

Describe how this objective supports the agency IT goal: Ensure MPERA's continuing capability to provide critical services to members in a timely and cost effective manner.

What is the timeframe for completion of this objective: **FY2009**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed? Complete business process workflows for business process leads. Train MPERA staff in the creation, use and maintenance of business process workflows.

**Accomplishments:** *Business process workflows for business process leads were completed in FY2010. MPERA staff have been trained in the creation, use and maintenance of business process workflows. MPERA has successfully implemented these processes in critical staff successions. 100% complete.*

**Status:** *Complete*

### **Supporting Objective/Action**

**ITO 4-2** Replace existing legacy systems with new technology including workflow systems

Describe the business requirements or business problem driving this objective:

BR1: Pay Retirement, Survivorship, Disability and Death Benefits & Refunds;

BR2: Collect & Process Employer, Employee and State Contributions,

BR5: Provide Quality Service to our Members, Employers and other Customers

Describe the benefits to be derived from the successful completion of this objective: Efficient use of IT resources, promote and use information technology. Improved business functions and process.

Describe the anticipated risks associated with this objective: Development costs in time and man power.

Describe how this objective supports the agency IT goal: Collect & Process Employer, Employee and State Contributions, Pay Retirement, Survivorship, Disability and Death Benefits & Refunds; Provide Quality Service to our Members, Employers and other Customers.

What is the timeframe for completion of this objective: **FY2013**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed? A project team is assigned during FY2009 to guide the reengineering effort for MPERA. Project initiating documents are created and approved during FY2010; project planning is completed during FY 2011; Project development is initiated during FY2012 with implementation during FY2013.

**Accomplishments:** *This project has been initiated, the project charter for the Ideation and Concept phases has been developed, the Ideation and Concept phases are complete and project planning is in progress*

**Status:** *Ongoing*

## **Goal Number 5:**

**ITG 5** Keep business continuity plan up to date for disaster recovery.

Description: Establish documented disaster recovery plans for all computer systems and MPERA's server.

Benefits: Keep services available and required processes functioning despite any means of interruption.

Beneficiaries: MPERA staff, MPERA internal and external customers.

Does this goal support the State IT Strategic Plan? If so, how?

Create a favorable business climate, Develop IT resources in an organized, deliberative and cost-effective manner, Protect individual privacy and the privacy of information contained within IT systems, Improve government services.

### **Supporting Objective/Action**

**ITO5-1** Actively participate with the state Service Delivery Team for disaster recovery.

Describe the business requirements or business problem driving this objective:

BR1: Pay Retirement, Survivorship, Disability and Death Benefits & Refunds;

BR2: Collect & Process Employer, Employee and State Contributions;

BR5: Provide Quality Service to our Members, Employers and other Customers.

Describe the benefits to be derived from the successful completion of this objective: MPERA disaster recovery plan is up to date and flexible to change with changing state environment.

Describe the anticipated risks associated with this objective: MPERA will be unable to respond timely and accurately to unforeseen events.

Describe how this objective supports the agency IT goal: Maintains MPERA ability to respond to unforeseen events in a timely manner and continue to provide quality customer services.

What is the timeframe for completion of this objective: **Ongoing**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed? Attend and participate in meetings and training.

**Accomplishments:** *MPERA staff completed training and is proficient in the use of LDRPS.*

**Status:** *Ongoing*

### **Supporting Objective/Action**

**ITO 5-2** Work with ITSD to be a part of Disaster Recovery tests.

Describe the business requirements or business problem driving this objective:

BR5: Provide Quality Service to our Members, Employers and other Customers.

Describe the benefits to be derived from the successful completion of this objective: MPERA disaster recovery plan is tested and weak areas identified.

Describe the anticipated risks associated with this objective: MPERA will be unable to respond timely and accurately to unforeseen events.

Describe how this objective supports the agency IT goal: Maintains MPERA ability to respond to unforeseen events in a timely manner and continue to provide quality customer services.

What is the timeframe for completion of this objective: **Ongoing**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed? Actively participate with DOA in disaster recovery drills to test recovery of MPERA hardware and software systems.

**Accomplishments:** *MPERA participated in the FY2008 and FY2010 state disaster recovery drills. 100% complete.*

**Status:** *Ongoing*

### **Supporting Objective/Action**

#### **ITO 5-3**

Review and update agency disaster recovery plan.

Describe the business requirements or business problem driving this objective:

BR5: Provide Quality Service to our Members, Employers and other Customers.

Describe the benefits to be derived from the successful completion of this objective: MPERA disaster recovery plan is documented, maintained, published and tested allowing MPERA to respond to events timely and with a minimum disruption to critical services.

Describe the anticipated risks associated with this objective: MPERA will be unable to respond timely and accurately to unforeseen events.

Describe how this objective supports the agency IT goal: Maintains MPERA ability to respond to unforeseen events in a timely manner and continue to provide quality customer services.

What is the timeframe for completion of this objective:

**Ongoing**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed? Review disaster recovery plan each biennium. Make necessary changes and publish plan after review is complete.

**Accomplishments:** *MPERA is working with DOA to complete Business Continuity Plans. We have completed 3 of our 6 plans. 75% complete*

**Status:** *Ongoing*

Goal Number 6:

**ITG 6** Create new FTE positions.

Description: New FTEs are needed for MPERA to direct project effort and provide support/expertise for development and implementation of new technologies.

Benefits: Keep services available and required processes functioning, provide project management support, and provide technical expertise and direction.

Beneficiaries: MPERA staff, MPERA internal and external customers.

Does this goal support the State IT Strategic Plan? If so, how?

Create a favorable business climate, Develop IT resources in an organized, deliberative and cost-effective manner, Improve government services.

### **Supporting Objective/Action**

**ITO 6-1** Create and hire FTE to meet project management and support needs.

Describe the business requirements or business problem driving this objective: BR1: Pay Retirement, Survivorship, Disability and Death Benefits & Refunds; BR2: Collect & Process Employer, Employee and State Contributions;

BR5: Provide Quality Service to our Members, Employers and other Customers.

Describe the benefits to be derived from the successful completion of this objective: Projects are completed successfully, timely and within budget. Existing MPERA systems are supported, providing quality service to our Members, Employers and Customers.

Describe the anticipated risks associated with this objective: Projects are not completed timely and within budget. Quality service is not provided. Costs in time and man power may be excessive.

Describe how this objective supports the agency IT goal: Allow MPERA to fulfill our mission by developing and implementing new and improved functionality.

What is the timeframe for completion of this objective: **FY2009**

Describe the critical success factors associated with this objective; i.e., how will you know when it has been successfully completed? Successfully hire staff, as needed.

**Accomplishments:** *MPERA successfully hired an Information Systems Developer in FY2010. Hiring a MPERA internal project manager was cancelled. 100% complete.*

**Status:** *Complete*

## SECTION 2: IT INITIATIVES STATUS UPDATE

### 2.1 IT Initiatives

***Initiative 1 - Title:*** Imaging and Workflow System for critical MPERA forms and documents.

***Description:*** Our current business processes are paper driven. Documents that are critical to successful completion of critical business processes are located in various places throughout MPERA. Imaging and workflow systems are needed to allow for recovery and improved business process functionality.

***EPP Number (if applicable):***

***Status (completed, substantially completed, deferred, delayed, cancelled, or on-going):***

*This initiative is In Progress. We have completed the Initiation and Concept phases of this project and are currently developing the RFP. We hope to release the RFP in December, 2010 or early in 2011.*

***Funding (funded, not funded, or partially funded):*** Funded

***Initiative 2 - Title:*** Re-engineer mainframe technology to provide for new and improved business process functionality.

***Description:*** Our current mainframe systems utilize IDMS databases which are customized to our needs and have served us well. ITSD does not want to support mainframe IDMS technology in the future and, as other agencies leave the IDMS technology, the maintenance cost may be prohibitive for MPERA to maintain this technology. Additionally, these applications are nearing the end of their life cycle.

***EPP Number (if applicable):***

***Status (completed, substantially completed, deferred, delayed, cancelled, or on-going):***

*This initiative is In Progress. We have currently working through the Initiation and Concept phases of this project.*

***Funding (funded, not funded, or partially funded):*** Partially Funded

## SECTION 3: ADDITIONAL INFORMATION - OPTIONAL

Other types of information that your agency may wish to report as accomplishments or challenges related to achieving the Goals, Objectives, and Initiatives outlined in your 2008 IT plan.